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PTO/38/30 (09-03)

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# Request for Continued Examination (RCE) Transmittal

Address to:  
Mail Stop RCE  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Application Number	09/664,596
Filing Date	09/26/2001
First Named Inventor	Mark J. Beck
Art Unit	2834
Examiner Name	Dougherty, Thomas M.
Attorney Docket Number	99-112

This is a Request for Continued Examination (RCE) under 37 CFR 1.114 of the above-identified application. Request for Continued Examination (RCE) practice under 37 CFR 1.114 does not apply to any utility or plant application filed prior to June 8, 1995, or to any design application. See Instruction Sheet for RCEs (not to be submitted to the USPTO) on page 2.

1. **Submission required under 37 CFR 1.114** Note: If the RCE is proper, any previously filed unentered amendments and amendments enclosed with the RCE will be entered in the order in which they were filed unless applicant instructs otherwise. If applicant does not wish to have any previously filed unentered amendment(s) entered, applicant must request non-entry of such amendment(s).

a. ☐ Previously submitted. If a final Office action is outstanding, any amendments filed after the final Office action may be considered as a submission even if this box is not checked.

i. ☐ Consider the arguments in the Appeal Brief or Reply Brief previously filed on \_\_\_\_\_

ii. ☐ Other \_\_\_\_\_

b. ☒ Enclosed

i. ☒ Amendment/Reply

ii. ☐ Affidavit(s) Declaration(s)

iii. ☒ Information Disclosure Statement (IDS)

iv. ☐ Other \_\_\_\_\_

## 2. Miscellaneous

a. ☐ Suspension of action on the above-identified application is requested under 37 CFR 1.103(c) for a period of \_\_\_\_\_ months. (Period of suspension shall not exceed 3 months; Fee under 37 CFR 1.17(i) required)

b. ☐ Other \_\_\_\_\_

## 3. Fees

The RCE fee under 37 CFR 1.17(e) is required by 37 CFR 1.114 when the RCE is filed.

The Director is hereby authorized to charge the following fees, or credit any overpayments, to

a. ☒ Deposit Account No. 502204

i. ☒ RCE fee required under 37 CFR 1.17(e)

ii. ☐ Extension of time fee (37 CFR 1.136 and 1.17)

iii. ☐ Other \_\_\_\_\_

b. ☐ Check in the amount of \$ \_\_\_\_\_ enclosed

c. ☐ Payment by credit card (Form PTO-2038 enclosed)

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## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

Name (Print/Type)	Donald J. Pagel	Registration No. (Attorney/Agent)	32,832
Signature	<i>[Signature]</i>	Date	10-27-03

## CERTIFICATE OF MAILING OR TRANSMISSION

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop RCE, Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450 or facsimile transmitted to the U.S. Patent and Trademark Office on the date shown below.

Name (Print/Type)	Donald J. Pagel	Date	10-27-03
Signature	<i>[Signature]</i>		

This collection of information is required by 37 CFR 1.114. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 C.F.R. 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop RCE, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Adjustment date: 01/08/2004 EEKUBAY1  
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01 FC:1801 770.00 CR

Received from <408 995 0882> at 10/27/03 8:25:22 PM [Eastern Standard Time]

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01 FC:2801 385.00 DA

**LAW OFFICE OF DONALD J. PAGEL**

PATENT TRADEMARK &amp; COPYRIGHT LAW

586 N. FIRST STREET, SUITE 207

SAN JOSE, CALIFORNIA 95112

PHONE (408) 995-0881

FACSIMILE (408) 995-0882

**FACSIMILE TRANSMISSION COVER SHEET**This transmission consists of 4 pages including this cover sheet.DATE SENT: January 5, 2004

FROM: Donald J. Pagel

TO:

Mail Stop 16  
Office of Finance-Refund Branch  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450**DESTINATION FAX NUMBER:**

1-703-308-6778

MESSAGE: See attached request for refund.

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**PATENT****IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of: Beck et al.

Att. Docket No.: 99-112

Application No.: 09/964,596

Art Unit: 2834

Filed: Sept. 26, 2001

Examiner: Dougherty, T.

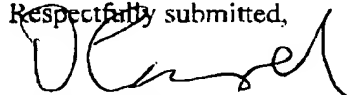
For: "Megasonic Transducer With Focused Energy Resonator"

**Mail Stop 16****Office of Finance-Refund Branch****Commissioner for Patents****P.O. Box 1450****Alexandria, VA 22313-1450****REQUEST FOR REFUND**

Sir:

Please refund \$410.00 to me for this application. On November 17, 2003, my deposit account (Account No. 502204) was incorrectly charged the "large entity" fee for a Request for Continued Examination. The amount of this overcharge was \$385 and also resulted in a \$25 service charge fee. The attached filing fee receipt and deposit account statement clearly show that the applicant in this case has small entity status and that the overcharges occurred. Therefore, please credit my deposit account in the amount of \$410.00.

Respectfully submitted,



Donald J. Pagel

Reg. No. 32,832

January 5, 2004

Law Office of Donald J. Pagel

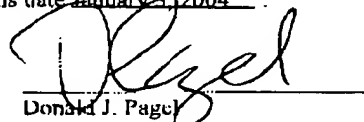
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99-112 refund04.15



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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/964,596	09/26/2001	2834	355	99-112	7	18	3

CONFIRMATION NO. 2388

## UPDATED FILING RECEIPT



\*OC000000007733583\*

Donald J. Pagel  
Suite 207  
586 N. First Street  
San Jose, CA 95112

Date Mailed: 03/28/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Mark J. Beck, Los Gatos, CA;  
Richard B. Vennerbeck, Los Gatos, CA;

## Assignment For Published Patent Application

Product Systems Incorporated, Campbell, CA;

## Domestic Priority data as claimed by applicant

THIS APPLICATION IS A CIP OF 09/841,703 04/23/2001

## Foreign Applications

If Required, Foreign Filing License Granted 10/26/2001

Projected Publication Date: 10/24/2002

Non-Publication Request: No

Early Publication Request: No

**" SMALL ENTITY "**

Title

Megasonic transducer with focused energy resonator

**United States  
Patent and  
Trademark Office****Deposit Account Statement**

**Requested Statement Month:** November 2003  
**Deposit Account Number:** 502204  
**Name:** LAW OFFICE OF DONALD J PAGEL  
**Attention:** DONALD J PAGEL  
**Address:** 586 N FIRST ST  
**City:** SAN JOSE  
**State:** CA  
**Zip:** 95112

DATE	SEQ	POSTING REF TXT	ATTORNEY DOCKET NBR	FEE CODE	AMT	BAL
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11/28	359	SERVICE CHARGE		9202	\$25.00	\$704.00

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